



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Ana Gabriela Anaya et al. Art Unit : 3624
Serial No. : 09/347,497 Examiner : Richard C. Weisberger
Filed : July 2, 1999
Title : MARKET EVENT ALERTS AND USER ACCESS TO MONITORING DATA

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

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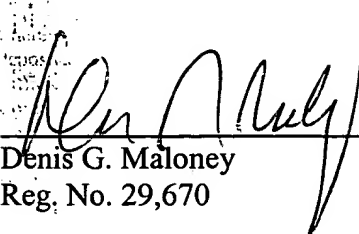
Applicant : Ana Gabriela Anaya et al.
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Page : 2 of 2

Attorney's Docket No.: 09857-022001

Respectfully submitted,

Date: _____

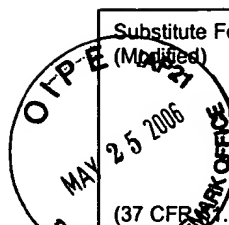
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 Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 09857-022001	Application No. 09/347,497
	Information Disclosure Statement by Applicant (Use several sheets if necessary)			Applicant Ana Gabriela Anaya et al.
	(37 CFR 1.98(b))		Filing Date July 2, 1999	Group Art Unit 3624

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AI							
	AJ							
	AK							
	AL							
	AM							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AN	NASD Stockwatch, System Design Document, February 8, 1989 (pp 1-62)
	AO	Description of Programs Under StockWatch System (pp 1-11)
	AP	Introduction to the Stockwatch Automated Tracking System ("SWAT"), June 1992 (pp 1-9)
	AQ	On-Line Stockwatch, June 1992 (pp 15-28)
	AR	Off-Line Stockwatch Break Report, June 1992, (pp 36-54)

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	